

ORIGINAL

OPEN MEETING AGENDA ITEM



0000100317

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28

BEFORE THE ARIZONA CORPORATION COMMISSION

RECEIVED

COMMISSIONERS

KRISTIN K. MAYES, Chairman
GARY PIERCE
PAUL NEWMAN
SANDRA D. KENNEDY
BOB STUMP

2009 JUL -7 A 10:44

Arizona Corporation Commission

DOCKETED

JUL -7 2009

ARIZONA CORPORATION COMMISSION
DOCKET CONTROL

DOCKETED BY *MM*

IN THE MATTER OF:

DOCKET NO. S-20688A-09-0281

RBC CAPITAL MARKETS
CORPORATION
One Liberty Plaza
165 Broadway
New York, NY

RESPONDENT.

PROCEDURAL ORDER
GRANTING ADMISSION
PRO HAC VICE

BY THE COMMISSION:

On July 6, 2009, pursuant to Arizona Supreme Court Rule 38(a), Laura M. Kam, an attorney with DLA Piper LLP (US) filed with the Arizona Corporation Commission ("Commission") a Motion to Appear Pro Hac Vice for Joshua R. Pater of Milbank, Tweed, Hadley & McCloy LLP in the above-captioned matter, on behalf of the Respondent, RBC Capital Markets Corporation. The Motion lists Ms. Kam as the designated member of the Arizona State Bar with whom communications may be made and upon whom papers should be served. Attached to the Motion is a copy of the Application for Appearance Pro Hac Vice filed with the State Bar of Arizona for Mr. Pater; a copy of his certificate of good standing from the jurisdiction in which he has been admitted to practice law; and a copy of the Notice of Receipt of Complete Application from the State Bar of Arizona.

On July 6, 2009, the Commission's Securities Division filed its Response to Motion and Consent of Local Counsel for Pro Hac Vice Admission of Joshua R. Pater, indicating that it has no objection to the admission of Mr. Pater as counsel *pro hac vice* in this matter.

In the discretion of the Commission, Joshua R. Pater should be permitted to appear and participate in the above-captioned matter on behalf of the Respondent, RBC Capital Markets Corporation.

1 IT IS THEREFORE ORDERED that Joshua R. Pater shall be admitted *pro hac vice* in the
2 above-captioned matter.

3 IT IS FURTHER ORDERED that the address for service of papers and other communications
4 for Mr. Pater shall be:

5 Joshua R. Pater
6 MILBANK, TWEED, HADLEY & McCLOY LLP
7 1 Chase Manhattan Place
8 New York, NY 10005

9 IT IS FURTHER ORDERED that the address for service of papers and other communications
10 for the Arizona-licensed attorney shall be:

11 Laura M. Kam
12 DLA PIPER LLP (US)
13 2525 East Camelback Road, Suite 1000
14 Phoenix, AZ 85016-4232

15 IT IS FURTHER ORDERED that withdrawal of representation must be made in compliance
16 with A.A.C. R14-3-104(E) and Rule 1.16 of the Rules of Professional Conduct (under Rule 42 of the
17 Rules of the Arizona Supreme Court). Representation before the Commission includes the obligation
18 to appear at all hearings and procedural conferences, as well as all Open Meetings for which the
19 matter is scheduled for discussion, unless counsel has previously been granted permission to
20 withdraw by the Administrative Law Judge.

21 DATED this 7th day July, 2009.

22 
23 LYN FARMER
24 CHIEF ADMINISTRATIVE LAW JUDGE

25 Copies of the foregoing mailed/delivered
26 this 7th day of July, 2009 to:

27 Laura M. Kam
28 DLA PIPER LLP (US)
29 2525 East Camelback Road, Suite 1000
30 Phoenix, AZ 85016-4232

1 Joshua R. Pater
2 MILBANK, TWEED, HADLEY & McCLOY LLP
3 1 Chase Manhattan Place
4 New York, NY 10005

4 Matt Neubert, Director
5 Securities Division
6 ARIZONA CORPORATION COMMISSION
7 1300 W. Washington St
8 Phoenix, AZ 85007

8 By: 
9 Debra Broyles
10 Secretary to Lyn Farmer

11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28